

U.S. Department of Energy Office of Legacy Management



Procedure: 1350.1

Effective: 5/30/06

SUBJECT: AUDIOVISUAL RECORDS

1. PURPOSE. To provide U.S. Department of Energy (DOE) Office of Legacy Management (LM) personnel with instructions for the creation, maintenance and preservation, and disposition of audiovisual records.
2. CANCELLATION. None
3. REFERENCES.
 - a. 44 United States Code 29-35, Records Management
 - b. 36 Code of Federal Regulations (CFR) Chapter XII, Subchapter B, Records Management
 - c. DOE Order 1350.1 Change 1, Audiovisual and Exhibits Management
 - d. DOE Guide 1324.5B, Implementation Guide for 36 CFR Chapter XII – Subchapter B
 - e. DOE Order 243.1, Records Management Program
 - f. DOE Standard 4001-2000, Design Criteria Standard for Electronic Records Management Software Applications, March 2000
 - g. LM Procedure 200.4, Records Management
 - h. National Archives and Records Administration (NARA), Managing Audiovisual Records: An Instructional Guide, 1999
 - i. NARA, Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Electronic Records—Digital Photographic Records, 2006

4. DEFINITIONS.

- a. Audiovisual Equipment -- Equipment used for recording, producing, duplicating, processing, broadcasting, distributing, storing, or exhibiting audiovisual materials or for providing any audiovisual services.
- b. Audiovisual Records -- Records in pictorial or aural form that include still and motion media, sound recordings, graphic works, mixed media, digital photographic records, production files, and related finding aids.
- c. Digital Photograph -- An electronic image recorded in a format that can be viewed only by a computer or digital camera. Many digital photographs have permanent value under DOE Administrative Schedule 21. To be accepted by NARA, digital photograph records must meet the standards published in Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Electronic Records—Digital Photographic Records. Metadata to be associated with digital photographs includes date taken, activity, individuals shown, significance, the camera model used, resolution, and file format.
- d. Disposition -- A broad term that may refer to any of the following:
 - Destroying records;
 - Offering and transferring those records to NARA;
 - Retiring or transferring records to a records holding area;
 - Transferring records from one office or agency to another; and
 - Donating records to a Government or non-government entity.
- e. Documentary Materials -- A collective term for records and nonrecord materials that refers to all media on which information is recorded, regardless of the nature of the medium or the method or circumstances of the recording.
- f. LM Personnel -- Federal employees within LM and support contractor employees.
- g. Metadata -- Data about data (e.g., data that describes or is associated with a computer file but is separate from the file content itself). Metadata is a key element with regard to e-mail policy because it contains information that enables the transmission of and the document itself to be authenticated. Metadata differs among categories of applications (e.g., computer-aided design, electronic mail) and may differ among different software packages. Various metadata standards exist for specific applications.

- h. Records -- Include all books, papers, maps, photographs, machine-readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them.
- i. Records Series -- File units or documents arranged according to a filing system or kept together because they relate to a particular subject or function, result from the same activity, document a specific kind of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, or use, such as restrictions on access and use.
- j. Records Liaison Officer (RLO) -- A member of the Archives and Information Management (AIM) Team designated by the AIM Supervisor. The RLO is responsible for overseeing the LM records management program in cooperation with the DOE Records Officer.
- k. Records Points of Contact (POCs) -- Designated LM staff members who work with the AIM Team to support records management activities for their respective sites and assigned organizations.
- l. Unique Identification Number -- A number used to track and identify a document through its record lifecycle. The number is assigned from a log maintained by a Records POC upon record creation. Identification numbers are assigned to inherited records if they do not already have unique identification numbers associated with them when LM assumes custody.
- m. Work Copies -- Duplicates of original film made to be used for reference or for duplication on a recurring or large-scale basis. These are not preservation master copies, which must be stored unused.

5. QUALITY CONTROL.

- a. The RLO shall review this procedure as necessary, but at least annually, to accommodate changing conditions within LM. The RLO also ensures compliance with applicable laws, regulations, and DOE requirements.
- b. The Records POCs ensure that audiovisual records are stored and protected from deterioration according to 36 CFR 1232, Audiovisual Records Management. Records POCs also periodically inspect audiovisual records for signs of deterioration.

6. RESPONSIBILITIES.

- a. The RLO, in providing for effective controls over the creation of records, shall establish an appropriate program for the management of audiovisual records. As part of this responsibility, the RLO:
 - Ensures audiovisual records are created, maintained, and dispositioned in accordance with this procedure.
 - Reviews LM's audiovisual recordkeeping practices as necessary, but at least annually.
 - Enforces audiovisual requirements and inspects records for conformance with those requirements.
 - Facilitates disposition of all audiovisual records as soon as practicable after creation and according to the LM File Plan.
- b. Records POCs:
 - Arrange and maintain audiovisual records according to published procedures and the LM File Plan.
 - Create and maintain finding aids for audiovisual records.
- c. LM personnel consult with the RLO if they are uncertain about requirements (e.g., appropriate media, formatting, and image resolution) when creating or receiving audiovisual materials that will become records.

7. TRAINING REQUIREMENTS.

Personnel creating, maintaining and preserving, or dispositioning audiovisual records shall be cognizant of the applicable areas within this procedure and related DOE directives and NARA guidance.

8. DOCUMENT CONTROL.

- a. The current and official controlled hard copy version of this document shall reside with the Directives Manager.
- b. The Directives Manager shall place the most current version of this procedure on the LM Intranet in a read-only format.

9. PROCEDURE.

The audiovisual records management process is illustrated in Attachment A. Attachment B. provides supplemental information regarding identification, treatment, and transfer of audiovisual records.

a. Creating Audiovisual Records

- (1) LM personnel consult with the RLO if they are uncertain about requirements when creating audiovisual materials that will become records or when receiving audiovisual record material.
- (2) The RLO ensures that LM personnel:
 - (a) Use industrial-grade equipment (e.g., cameras, audio recorders) to create audiovisual material and use industry-standard settings that maximize the quality of the finished product.
 - (b) Use audiovisual media (e.g., magnetic tape, film stock, photographic paper) that meets professional, archival quality requirements (e.g., American National Standards Institute [ANSI] and International Organization for Standards [ISO] guidance). When making a record copy, do not record over previously recorded media. Additionally, use media that can be duplicated without loss of resolution. (Avoid using consumer-grade video cassettes as originals.)
 - (c) Ensure professional developer services are used when possible. Professional developers, unlike some quick-service developers, follow manufacture specifications to maximize the quality of audiovisual products. For example, professionals use chemical solutions designed to extend the life of the film materials they process.
 - (d) Collect information to identify audiovisual material when it is placed in the Central Files.
- (3) The Records POCs ensure audiovisual records are filed in the Central Files according to the LM File Plan. The Records POCs:
 - (a) Document descriptive and technical information about each audiovisual record maintained. This information includes:
 - Unique identification number

- Subject (e.g., information content in context with other LM records)
 - Caption (including inclusive dates)
 - Name of photographer or director
 - Copyright (owner and restrictions, if any)
 - Media specifications (e.g., media type and format, image size) necessary to describe the media
 - Finding aids or source documentation, (e.g., catalogs, scripts, indexes, caption lists, operator's notes, transcripts)
- (b) Create an index of all audiovisual materials maintained, incorporating descriptive and technical information for each audiovisual record being maintained.
- (c) Arrange audiovisual records numerically, chronologically, or alphabetically by subject in blocks that facilitate easy transfer to an inactive records holding area.

b. Maintenance and Preservation of Audiovisual Records

The RLO and Records POCs ensure audiovisual materials are maintained and preserved according to LM procedures and all relevant NARA requirements. Audiovisual records are considered records in the same way that any letter, memorandum, or case file is considered record material. The RLO and Records POCs:

- (1) Provide proper storage conditions for audiovisual media:
- (a) Store original or master versions of audiovisual material separately from reference or work copies. Separation reduces errors in retrieving copies for use and provides a greater chance of survival of at least one copy in the event of a disaster.
 - (b) Store audiovisual material in the proper environment to preserve the life of the media. Storage temperatures should not exceed 72 degrees Fahrenheit, and relative humidity should not exceed 50 percent.
 - (c) Store records in audiovisual storage containers or enclosures made of non-corroding metal, inert plastics, paper products, and other safe materials recommended and specified in ANSI standards.

(Example: Store originals or master copies of roll film, open-reel sound recordings, and video cassettes in archival storage containers made of polypropylene, polyethylene, or non-corroding metal.)

- (2) Properly handle original and master copies of audiovisual materials. Avoid exposing media to rough surfaces, bare hands, and magnetic forces. Properly maintain equipment for projection or playback so audiovisual materials are not damaged during playback.
- (3) Make work copies of audiovisual records when possible to fill loan requests. Copies should be correctly labeled to indicate they are not original record material. Discard duplicate copies of audiovisual records when no longer needed.
- (4) Store digital audiovisual records in the LM electronic record management application, completing a profile for each file imported.
- (5) Relocate permanent audiovisual records to an environmentally controlled records holding area within 5 years of creation to mitigate deterioration of the audiovisual media.

c. Disposition of Audiovisual Records

Upon disposition of audiovisual records, the Records POCs:

- (1) Assist LM personnel who prepare records for transfer to a records holding area.
- (2) Ensure that LM personnel dispositioning audiovisual records:
 - (a) Separate record boxes according to series. (Do not mix series.)
 - (b) Package record copies of audiovisual materials in approved containers.
 - (c) Transfer finding aids and descriptive, technical information with audiovisual records. Finding aids must be complete and applicable.
 - (d) Assign file codes to audiovisual records in accordance with the LM File Plan.
 - (e) Seek RLO guidance when transferring audiovisual records to inactive storage.

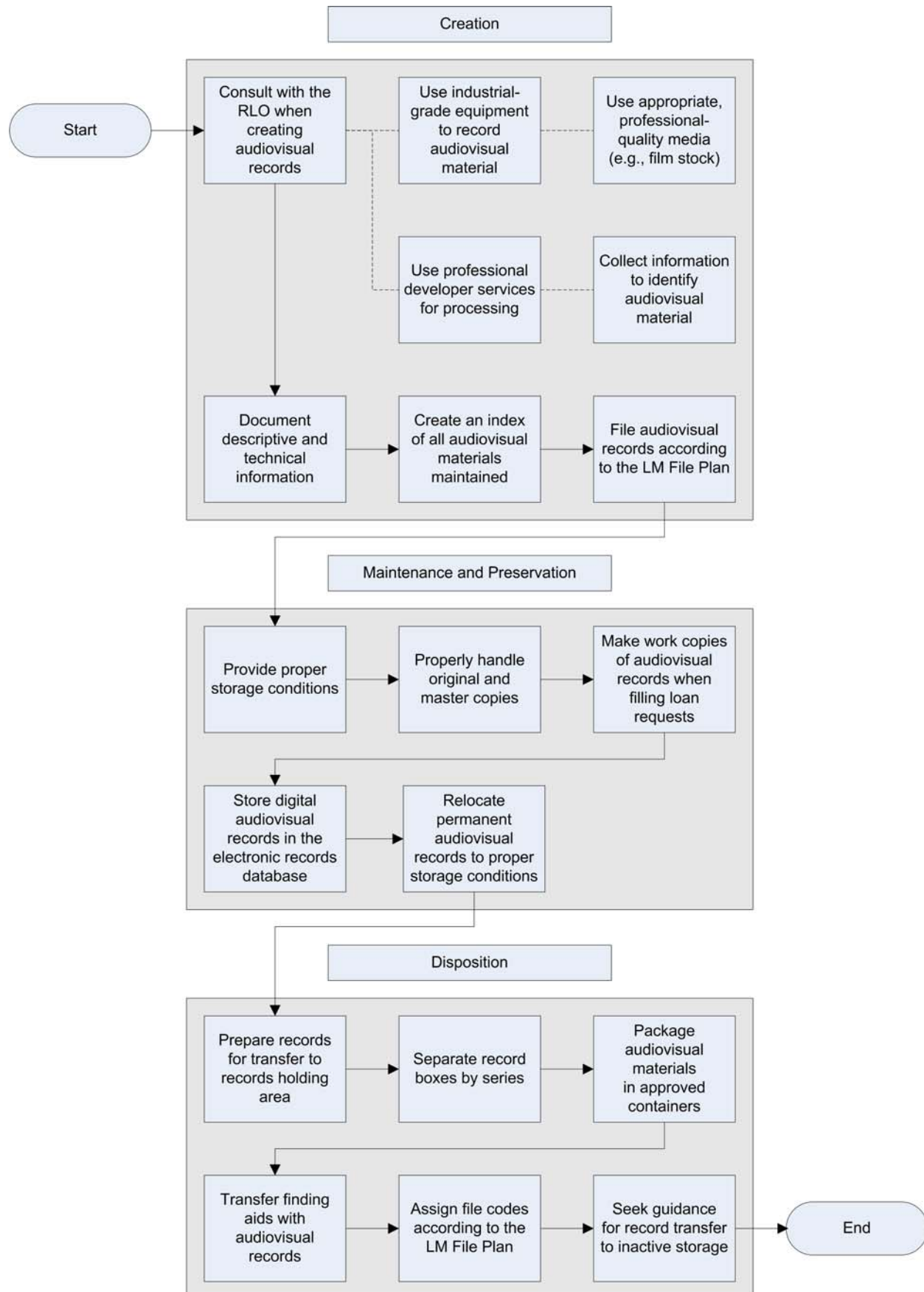
10. ATTACHMENTS.

- a. Attachment A. – Audiovisual Records Management Flowchart
- b. Attachment B. – Audiovisual Records Supplemental Information

Approved: Original signed by Celinda H. Crawford
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Distribution: As required

Attachment A. – Audiovisual Records Management Flowchart



Attachment B. – Audiovisual Records Supplemental Information

This attachment provides supplemental material and considerations for the creation, maintenance, and disposition of audiovisual records.

a. General Considerations for Audiovisual Records

Separate material with short-term retention from material with long-term retention requirements. Audiovisual requirements generally apply to audiovisual records with long-term retentions.

Do not group audiovisual records according to format, even if they are kept in a centralized storage area.

Immediately contact the Legacy Management (LM) Environmental Compliance Officer when unstable film materials are identified in records storage areas. *Nitrate film*, used until the early 1950s, is chemically unstable and highly flammable. Unstable nitrate film can be identified by a pungent deterioration odor similar to nitric acid, a yellowish color on the film base, and stickiness. Deteriorating *cellulose-acetate film* has a strong acetic (vinegary) odor, buckled film surface, and crystalline residue. Acetate film often will be labeled with “Safety Film” markings. Notify the National Archives and Records Administration (NARA) within 30 days after inspection about deteriorating audiovisual records composed of cellulose acetate so they can be copied if necessary.

b. Identifying Video and Audio Records

Audio or video recordings that likely constitute audiovisual records include:

- Public service announcements;
- Training programs that explain LM functions or activities (other than those dealing with personnel or administrative matters);
- Programs produced under grants or acquired from outside sources that relate to significant aspects of LM’s work;
- Coverage of LM officials’ speeches, testimony, or media appearances; and
- Recordings or oral histories of people who participated in events that LM deems historically significant.

c. Photographs

Photographic material that likely constitutes audiovisual records include:

- Photographs, slides, or filmstrips depicting the mission, programs, significant activities, and functions of the agency;
- Official portraits of senior agency officials; and
- Photographic documentation of significant construction, rehabilitation, or reconstruction projects (e.g., major buildings).

(1) Film-based photographs

The preferred film media for photographs is 35 mm. Negatives are preferred for long-term retention and should be adequately annotated and indexed. Negatives should be considered inactive material and transferred to the Central Files for proper protection and storage.

Store still-picture negatives in acid- and peroxide-free envelopes or sleeves.

Number photographic prints on the back edge. Use pens specially formulated for writing on negatives. Do not make annotations on the face or on the middle of the back. Mark negatives and prints with the same unique number.

(2) Digital photographs

Digital photographs include snapshots created in support of agency business that are produced from digital cameras and scanned images of photographic prints, slides, and negatives.

To be accepted as a permanent record by NARA, digital photograph records must meet the standards published by NARA in Expanding Acceptable Transfer Requirements: Transfer Instructions for Permanent Electronic Records—Digital Photographic Records. Permanent digital photograph requirements include:

- Files must be saved in either TIFF (.tiff or .tif) or JPEG (.jpeg, .jfif, or .jpg) format.
- New digital photographs must be captured as 6 megapixel files or greater and with pixel areas of 3,000 by 2,000 or greater. According to NARA, this digital resolution is comparable in quality to 35-mm film photographs.
- Photographs scanned into electronic files must approximate a 6 megapixel resolution. The NARA digital photograph guidance includes minimum dot per inch (dpi) settings required when scanning various photograph sizes.

Digital images housed in LM's electronic records management application are protected with security features to prevent inadvertent or deliberate alteration, in accordance with Department of Energy Standard 4001-2000, Design Criteria Standard for Electronic Records Management Software Applications.

(3) Image limitations

Instant photographs (e.g., Polaroid images) are appropriate only for short-term use. Instant photographs deteriorate more quickly than other photographic material and should be used only as working copies.

The following digital record files are not accepted by NARA under current guidance:

- Lower-resolution images created for posting on agency web sites.
- Photographs captured within word processing, spreadsheet, and presentation applications.
- Digital photographic images such as aerial photography and satellite imagery.
- Vector-based images, such as records created using graphic arts software or computer-aided design (CAD) applications.

d. Transfer Considerations

- (1) Transfer all stable vintage film materials (e.g., nitrate film, motion pictures produced before 1951) to a storage facility with requisite environmental temperatures and humidity, or offer the materials to NARA if no longer needed.
- (2) Dispose of film materials that contain recoverable silver according to 41 Code of Federal Regulations (CFR) 101-45.10, Recovery of Precious Metals.
- (3) The following records must be transferred to NARA with the audiovisual records to which they pertain.
 - (a) Finding aids such as data sheets, shot lists, catalogs, indexes, list of captions, and other documentation that is helpful or necessary for the identification of audiovisual records. Personnel should contact NARA to determine the type of hardware and software currently acceptable for transfer to NARA as an electronic finding aid to accompany audiovisual records. In general, however, personnel must transfer two copies of the electronic finding aid: one in its native format with its field structure documented and a second copy in a contemporary format available at the

time of transfer that NARA will be able to support and import into its database.

- (b) Production case files or similar files that include copies of production contracts, scripts, transcripts, and appropriate documentation bearing on the origin, acquisition, release, and ownership of the production.

The audiovisual record also includes related production files. These files may show the existence of copyright or other proprietary rights that are legally enforceable in subsequent use. Production files are essential documentation for professionally made film or television programs sponsored by Federal agencies. The files aid the researcher in discerning the purpose and considerations of each production. Because many Government productions lack personal credits such as director, producer, and writer, the production file is an appropriate place to document this information.

Increasingly, finding aids for audiovisual records are created electronically. These too should be transferred along with the audiovisual records following the requirements identified in 36 CFR 1228.266.